

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2431513
<b>Application Number:</b>	10828269
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5446
<b>Title of Invention:</b>	Risk management system and method providing rule-based evolution of a portfolio of instruments
<b>First Named Inventor/Applicant Name:</b>	Jim Degraaf
<b>Customer Number:</b>	1059
<b>Filer:</b>	Kendrick Lo./Shelley Cotgrave
<b>Filer Authorized By:</b>	Kendrick Lo.
<b>Attorney Docket Number:</b>	11483-174
<b>Receipt Date:</b>	06-NOV-2007
<b>Filing Date:</b>	21-APR-2004
<b>Time Stamp:</b>	15:40:41
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 120
RAM confirmation Number	859
Deposit Account	022095

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Extension of Time	Ext_of_Time.pdf	104543 507996731b7b79339c274eeb37e59207c06f1902e1	no	1
Warnings:					
Information:					
2		Amendment.pdf	517030 141480989330d8575eb001711bd678a0767e677325	yes	13
	Multipart Description/PDF files in .zip description				
	Document Description	Start	End		
	Amendment - After Non-Final Rejection	1	1		
	Claims	2	11		
	Applicant Arguments/Remarks Made in an Amendment	12	13		
Warnings:					
Information:					
3		IDS.pdf	107158 43b6a1594989f5d5da21b7233376c0591058f9dc	yes	2
	Multipart Description/PDF files in .zip description				
	Document Description	Start	End		
	Information Disclosure Statement Letter	1	1		
	Information Disclosure Statement (IDS) Filed	2	2		
Warnings:					
Information:					
4	NPL Documents	recent_press_releases.pdf	108006 eaddb1a54310c3d98165e1113c32e54e00c49309	no	2
Warnings:					
Information:					
5	NPL Documents	RiskWatch3_1.pdf	323059 e44ebd0e0cb071e03671a23c35dc56dc420f94d3	no	34
Warnings:					
Information:					
6	NPL Documents	RiskWatch3_1_2.pdf	369594 64687b5138930297b16380011e7bf0af297a211	no	42

**Warnings:****Information:**

7	Fee Worksheet (PTO-06)	fee-info.pdf	8190	no	2
			36eac1cbe39715c9786cd591200582ed05c40cdef		

**Warnings:****Information:**

Total Files Size (in bytes):	1537580
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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 Indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.